



DEPARTMENT OF THE TREASURY
WASHINGTON, D.C. 2022

**Acquisition
Bulletin (AB)**

No. 02-15
June 14, 2002

MEMORANDUM FOR THE BUREAU CHIEF PROCUREMENT OFFICERS

FROM: Corey M. Rindner, Director
Office of the Procurement Executive

SUBJECT: Contract File Table of Contents

Purpose: To reissue an updated contract file table of contents (TOC).

Effective Date: December 20, 1999

Expiration Date: This PIM will expire when canceled or superseded. PIM 99-15 is hereby canceled.

Background: With all of the recent changes to the FAR, the TOC needed updating. OP queried several bureaus to determine whether individual bureaus were updating the TOC. We also reviewed the current TOC that the Department of State uses. The following are noteworthy changes:

- The “Tab” column is blank. This provides flexibility for the bureaus to use either an alpha or numerical numbering scheme.
- More FAR and DTAR cites are referenced.
- Section II, Solicitation Documents, now contains the “Explanation for Not Using Sealed Bidding.” Staff can check the appropriate block on the TOC, and not have to provide a separate sheet of paper.
- Sections III and V have two sheets, (a) and (b). This allows for consideration of items listed in the FAR that are not on the current TOC.

The TOC may be customized to accommodate bureau needs. We ask, however, that for consistency, bureaus require a standard format. Also, if a contract has numerous modifications, staff may wish to consider placing items listed in Section V(a) (items 2-8) in a separate folder. Finally, Treasury files should contain an abbreviated contract, which contains all modifications.

We extend our appreciation to the BEP and the IRS for taking the lead in updating the TOCs for their respective bureaus. An honorable mention goes to Judy Willis, IRS Procurement Policy, whose attention to detail has truly improved the document.

Questions may be directed to Angelie Jackson at angelie.jackson@do.treas.gov. Angelie can be reached at (202) 622-0245.

Attachment

SECTION I PRESOLICITATION DOCUMENTS

TAB	DESCRIPTION	IN FILE*
	Purchase Request/Certification of Funding/Independent Government Cost Estimate, SOW, etc. [FAR 4.803 and FAR 32.702]	
	Acquisition Plan [FAR 7.105 and DTAR 1007.1]	
	Other Than Full & Open Competition Authority JOFOC and Related Correspondence [FAR 6.3 and DTAR 1006.3]	
	Market Research [FAR 10.001, FAR 10.002 and FAR 12.202]	
	Determination & Findings – Authorization for Use	
	a. Time & Materials Contract [FAR 16.601(c)]	
	b. Labor Hour Contract [FAR 16.602]	
	c. Multiple Award Determination [FAR 16.504(c)(1) & (c)(2)]	
	Other Approvals/Determinations:	
	a. Non-Personal Services Determination [FAR 37.103]	
	b. Justification for Use of Options [FAR 17.205 and DTAR 1017.2] Determination not to Evaluate Options [FAR 17.206(b)]	
	c. Value Engineering Clause Exclusion [FAR 48.201(a) or Exemption (f)] [FAR 48.102(a) FAR 48.201(f) and DTAR 1048.102(a)]	
	d. Deviations from FAR/DTAR/Statutes [FAR 1.4 and DTAR 1001.4]	
	e. Determination on Availability of Personnel [FAR 37.204, FAR 37.205 and DTAR 1037.204]	
	f. Multi-Year Contracting [FAR 17.105-1]	
	g. Approval for Firm-Fixed Price Level of Effort contract > \$100,000 [FAR 16.207-3(d)]	
	h. Other Administrative Approvals	
	CBD Synopsis/Waiver/Exception [FAR 5.2 and DTAR 1005.2]	
	Commercial Item Waiver - Tailoring of Terms/Conditions/Clauses Inconsistent with Customary Commercial Practice [FAR 12.302(c) and DTAR 1012.301]	
	Small Business Review [FAR 19.5 and DTAR 1019.501]	
	SBA Correspondence (Search and Offering Letters) [FAR 19.8, DTAR 1019.8 and PIM 98-06]	
	Service Contract Act Wage Determination, SF 98 & 98A and Comparable Government Wage Rates (FAR 22.1007) or Davis Bacon General Wage Determination [FAR 22.404 and DTAR 1022.404]	
	Source Selection Plan/TEP/BMEP Plan [FAR 12.602, FAR 15.3 and DTAR 1015.3]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION II SOLICITATION DOCUMENTS

TAB	DESCRIPTION	IN FILE *
	Solicitation Document [FAR 4.803(a)(8), FAR 12.603, FAR 14.201 and FAR 15.203 and FAR 15.205]	
	Solicitation Amendments and Supporting Documents [FAR 4.803(a)(8), FAR 14.208, FAR 15.206 and FAR 43.301]	
	Legal Review and Response [DTAR 1004.71]	
	Bureau Procurement Reviews and Response	
	Other Bureau Reviews and Responses (e.g., Technical/COTR)	
	Departmental Review	
	Documentation to Support the Use of Oral Solicitations [FAR 15.203(f)]	
	Distribution of Solicitation Document and Requests for Mailing List with Business Size [FAR 14.205 and FAR 15.205]	
	Review - List of Parties Excluded from Federal Procurement and Nonprocurement Programs [FAR 9.404(c)(5) and DTAR 1009.404(c)(5)]	
	Pre-Bid/Proposal Conference Information (list of attendees, transcript/minutes) [FAR 14.207 and FAR 15.201]	
	"No Bid" Correspondence [FAR 14.205-2]	
	Explanation for Not Using Sealed Bidding – Check Applicable Block Y Inadequate time Y Award on other than price Y Need to hold discussions Y Competition not expected	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION III (a)
PRE-AWARD DOCUMENTS

TAB	DESCRIPTION	IN FILE*
	Unsuccessful Proposals/Bids Information (cross reference - if filed elsewhere) [FAR 4.803(a)(10)][FAR 14.403]	
	a. Unsuccessful Offers	
	b. Correspondence with Unsuccessful Offerors (in chronological order)	
	c. Preaward Notices, (e.g., exclusion from competitive range, preaward notice for small business programs and postaward notices) [FAR 15.503(a)(1)and (2)(b)]	
	Successful Proposals/Bids & all Correspondence with Successful Offeror prior to Execution of Contractual Document (in chronological order) [FAR 15.504 and FAR 14.408-1]	
	Record of late Proposals/Bids/ Determinations/Notices [FAR 14.304-1, FAR 14.304-4 and FAR 15.208]	
	Cost or Pricing Data & Certification of Current Cost or Pricing Data, Required Justification for Waiver [FAR 15.403-1, FAR 15.403-4 and FAR 15.406-2] [FAR 4.803(a)(17)]	
	Audit Reports or Reason for Waiver [FAR 15.404-2, FAR 42.7, FAR 4.803(a)(20) and DTAR 1015.404-2]	
	Competitive Range Determination [FAR 15.306(c), FAR 4.803(a)(21)]	
	Record of Oral Presentations [FAR 15.102]	
	Memorandum of Prenegotiation Objectives including TDF 76-01.2 "Record of Profit/Fee Prenegotiation Objective" and Cost Analysis/Price Analysis [FAR 15.406-1, DTAR 1015.406-1, FAR 15.404-1 and FAR 4.803(a)(19)]	
	Price Negotiation Memorandum [FAR 12.209, FAR 15.406-3 and FAR 4.803(a)(21)]	
	a. Past Performance Evaluation Documentation [FAR 15.304(c)(2), FAR 15.304(c)(3)(ii) and FAR 42.1502(a)]	
	b. Technical/Cost Evaluation Documentation [FAR 12.602 and FAR 15.305]	
	c. Source Selection Decision Document [FAR 12.206, FAR 14.408-7 and FAR 15.308]	
	Pre-Award Debriefing(s) [FAR 15.505]	
	Subcontracting Plan & Review Documentation FAR 19.702, FAR 19.704 and DTAR 1019.705-4]	
	Pre-Award Survey Report or Reference to Previous Reports Relied Upon [FAR 9.106]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION III (b)
PRE-AWARD DOCUMENTS

TAB	DESCRIPTION	IN FILE *
	SBA Certificate of Competency (COC) [FAR 19.6 and DTAR 1019.602]	
	Equal Employment Opportunity Clearance (\$10 Million or More) [FAR 22.8]	
	Approvals/Determinations	
	a. Contracting Officer's Determination of Contractor's Responsibility [FAR 14.408-2 and FAR 9.105-2]	
	b. No Subcontracting Possibilities [FAR 19.705-2(c) and DTAR 1019.705-2(c)]	
	c. Contractor Background Investigation Documents/Approval	
	Pre-Award Protest Correspondence or MMK Independent Review [FAR 33.102 and DTAR 1033.1]	
	Bureau Review of Proposed Contract and Responses (includes Technical Review)	
	Legal Review of Proposed Contract and Response [DTAR 1004.71]	
	Departmental Review	
	COTR Appointment/Notification/Evidence of Training [DTAR 1001.670 and COTR Handbook TD P 76-01.D, dated 09/97]	
	Review - List of Parties Excluded from Federal Procurement and Nonprocurement Programs [FAR 9.405(d)(1)]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

**SECTION IV
POST-AWARD DOCUMENTS**

TAB	DESCRIPTION	IN FILE*
	Synopsis of Contract Award [FAR 5.3, FAR 4.803(a)(27) and DTAR 1005.3]	
	Post-Award Notice to Unsuccessful Offerors [FAR 14.409, FAR 15.503(b) and FAR 4.803(a)(28)]	
	Post-Award Debriefing(s) [FAR 15.506 and FAR 4.803(a)(28)]	
	Bid Guarantee, Performance, Payment or Other Bond Documents and Notices to Sureties [FAR 28.1 &.2, DTAR 1028.1 &.2 and FAR 4.803(a)(30)]	
	Waiver of Bid Guarantee [FAR 28.101-1(c) and DTAR 1028.101-1(c)]	
	Copy of ICAR, SF 279 [FAR 4.6 and DTAR 1004.6]	
	Approval for Payment of Overtime Premiums [FAR 22.103-4 and DTAR 1022.103-4]	
	Commercial Item Waiver - Tailoring of Clauses Inconsistent with Customary Commercial Practice [FAR 12.203(c) and DTAR 1012.302]	
	Post-Award Protest Correspondence or MMK Independent Review [FAR 33.1 and DTAR 1033.1]	
	Public/Legislative Notice/Announcement of Contract Award [FAR 5.303]	
	Contract Distribution Record [FAR 4.201]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION V (a)
CONTRACT ADMINISTRATION DOCUMENTS

TAB	DESCRIPTION	IN FILE*
	Original Signed Contract or Award Documents [FAR 4.803(a)(26) & (b)(1)]	
	Original Contract Modifications (include current listing of modifications to date, cross reference - if filed elsewhere) [FAR 4.803(b)(1)]	
	Documents Supporting Contract Modifications (e.g., cost and pricing documentation)(cross reference - if filed elsewhere) [FAR 4.803(b)(1)]	
	Modification Distribution Record [FAR 4.201]	
	Postaward Conference Orientation [FAR 42.5]	
	Memorandum and Supporting Documents Transferring Contract File or Memorandum explaining why Procurement Office will Administer Contract File [FAR 42.2]	
	Approvals/Disapprovals of Requests for Waivers/Deviations from Contract Requirements [FAR 42.302]	
	Documentation of Cost or Price Analysis for Modifications (e.g., cost or pricing data, certificates, information other than cost or pricing data) [FAR 42.302]	
	Accepted/Rejected Engineering Change Proposal Documentation [FAR 48.103 and DTAR 1048.103]	
	Delivery/Task Orders & Related Documentation (cross reference - if filed elsewhere) [FAR 42.302]	
	Stop Work Orders/Notice to Proceed [FAR 42.13]	
	Security Requirements - Forms/Correspondence on Contractor Background Investigations [FAR 42.302(a)(20)]	
	Contractor Performance Information [FAR 42.1502(a)]	
	Disputes/Claims Documentation [FAR 33.2 and DTAR 1033.2]	
	Royalty, Invention, and Copyright Reports [FAR 27 and DTAR 1027]	
	Documentation Regarding Termination Actions [FAR 49, DTAR 1049 and FAR 4.803(a)(38)]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION V (b)
CONTRACT ADMINISTRATION DOCUMENTS

TAB	DESCRIPTION	IN FILE*
	Current Chronological Listing of Awarding and Successor Contracting Officers with Inclusive Dates of Responsibility [FAR 42.202(a)]	
	Inspection/Receiving Reports [DTAR 1046.672]	
	Invoices/Vouchers/Approval for Payment [FAR 42.302 and FAR 4.803(b)(12)]	
	Insurance Policies or Certificates of Insurance [FAR 28.3 and DTAR 1028.3]	
	Documentation Supporting Advance or Progress Payments [FAR 32.2, FAR 32.4, FAR 32.5, DTAR 1032.2 and DTAR 1032.4]	
	Production Progress Reports [FAR 42.11]	
	Quality Assurance Records [FAR 46.4 and FAR 4.803(b)(15)]	
	Property Administration Records [FAR 45.105 and FAR 4.803(b)(16)]	
	SBA Correspondence [FAR 19.812(a) and (d), DTAR 1019.812 and DTAR 1019.812-70]	
	Subcontracting Reports SF 294/295 [FAR 19.704(a)(10)(ii) & (iii) and DTAR 1019.705-3(c)(d)]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)

SECTION VI
CONTRACT/DELIVERY ORDER/TASK ORDER CLOSEOUT

TAB	DESCRIPTION	IN FILE *
	Physical Completion Statement from Project Office/COTR [FAR 4.804-5(a)]	
	Disposition of Sensitive Material Completed [FAR 4.804-5(a)(1)]	
	Final Contractor Performance Report Received [FAR 42.1502(a)]	
	Final Patent and/or Royalty Reports Received [FAR 4.804-5(a)(2)&(3)]	
	All Outstanding Value Engineering Change Proposals Closed [FAR 4.804-5(a)(4)]	
	Property Clearance Documentation [FAR 4.804-5(a)(6)]	
	All Interim or Disallowed Costs Settled and Release of Claim [FAR 4.804-5(a)(7)]	
	Price Revisions Completed [FAR 4.804-5(a)(8)]	
	Subcontracts Settled [FAR 4.804-5(a)(9)]	
	Prior Year Indirect Cost Rates Settled [FAR 4.804-5(a)(10)]	
	Termination Docket Completed [FAR 4.804-5(a)(11)]	
	Contract Audit Completed [FAR 4.804-5(a)(12)]	
	Contractor's Closing Statement [FAR 4.804-5(a)(13)]	
	Contractor's Final Invoice [FAR 4.804-5(a)(14)]	
	Contract Funds Review Completion/Deobligation of any Excess Funds Documentation [FAR 4.804-5(a)(15)]	
	Contract Completion Statement [FAR 4-804-5(b)]	

*Make notations against each tab with either a check mark (✓) or N/A (not applicable); also cite cross-reference to other file(s)